

**IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

International Application No. : PCT/DE2003/003994  
International Filing Date : December 1, 2003  
U.S. Serial No. : 10/536,834  
Deposit Date U.S. Nat'l Phase : May 31, 2005  
Priority Date(s) Claimed : November 29, 2002  
Applicant(s) : Steffen GOLETZ et al.

Title: TUMOR-SPECIFIC RECOGNITION MOLECULES

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §§ 1.56, 1.97 and 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This information disclosure statement is made in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98 as follows:

**Timing and Fees**

- ☒ Under 37 C.F.R. § 1.97(b), no fee or statement is required for filing this information disclosure statement is filed:
- ☐ within three months of the filing date of a national application other than a CPA under § 1.53(d);
  - ☐ within three months of the actual filing date of the national phase of a PCT application; OR
  - ☒ before the mailing of a first substantive office action (including after filing of an RCE).
- ☐ Under 37 C.F.R. § 1.97(c), this information disclosure statement is filed after the periods specified in 37 C.F.R. § 1.97(b), but before the mailing date of:
- a final rejection under 37 C.F.R. 1.113;
  - termination of prosecution, e.g. Ex Parte Quayle, M.P.E.P § 609(B)(2); OR
  - a notice of allowance under 37 C.F.R. § 1.311; and

is accompanied by:

- ☐ the statement as specified in 37 C.F.R. § 1.97(e) set out below; OR
- ☐ a check covering the fee of \$180.00 under 37 C.F.R. § 1.17(p).

☐ Under 37 C.F.R. § 1.97(d), this information disclosure statement is filed after the mailing date of the following actions which have not been withdrawn:

- ☐ a final action under 37 C.F.R. § 1.113;
- ☐ termination of prosecution, e.g. Ex Parte Quayle, M.P.E.P § 609(B)(2);
- ☐ OR a notice of allowance under 37 C.F.R. § 1.311;

AND is filed on or before payment of the issue fee; AND is accompanied by:

the statement as specified in 37 C.F.R. § 1.97(e) as set forth below, and the fee of \$180.00 under 37 C.F.R. § 1.17(p).

Statements Under 37 C.F.R. 1.97(e)

- ☐ Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application having a mailing date not more than three months prior to the filing date of this information disclosure statement; or
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the undersigned attorney after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing date of the information disclosure statement.

Cited Materials

- ☐ Copies of materials listed but not attached were cited in benefit (35 U.S.C. § 120) ancestor application Serial No. \_\_\_\_\_, on Form 892 by the Examiner and/or Form 1449 by the applicant; see 37 C.F.R. § 1.98(d).
- ☐ Copies of materials listed but not attached were cited in an international search report dated.
- ☐ Not required by 37 CFR § 1.98.
- ☒ Copies of the materials listed are attached.

### Non-English Language References

- ☐ An English-language search report or equivalent paper from a foreign patent office is provided indicating the relevance of the cited reference(s).
- ☐ A foreign-language search report from a foreign patent office is provided, and pertinent parts are translated substantively below:
- X = document of particular relevance when it is taken alone  
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A = document defining the general state of the art  
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T = document cited to understand the theory or principle underlying the invention  
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- ☐ Translation of other relevant information on foreign search report


### Other Information

#### Payment of Fees Due (If Any):

- ☐ A check for \$\_\_\_\_\_ covering the fee identified above is attached.
- ☐ Please charge to Deposit Account No. 13-3402 \$\_\_\_\_\_ for the fee identified above.

☒ The Commissioner is hereby authorized to charge or credit any overpayment to Deposit Account #13-3402, two copies of this paper are attached for this purpose.

Respectfully submitted,

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for AJZ  
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Attorney Docket No.: GULDE-59

Date: March 20, 2006

AJZ:aap:ssr

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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>		<b>Complete if Known</b>	
		Application Number	10/536,834
		Filing Date	May 31, 2005
		First Named Inventor	Steffen GOLETZ et al.
		Group Art Unit	Unassigned
		Examiner Name	Unassigned
Sheet 1 of 2	Attorney Docket Number	GULDE-59	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	001	BOEL, ET AL.: "FUNCTIONAL HUMAN MONOCLONAL ANTIBODIES OF ALL ISOTYPES CONSTRUCTED FROM PHAGE DISPLAY LIBRARY-DERIVED SINGLE-CHAIN Fv ANTIBODY FRAGMENTS." J IMMUNOL METHODS 239; PGS. 153-66; (2000)	
	002	BRECHBIEL, ET AL.: "SYNTHESIS OF 1(p-ISOTHIOCYANATOBENZYL) DERIVATIVES OF DTPA AND EDTA. ANTIBODY LABELING AND TUMOR-IMAGING STUDIES." INORG CHEM 25; PGS. 2772-2781; (1986)	
	003	CHOTHIA, ET AL.: "THE PREDICTED STRUCTURE OF IMMUNOGLOBULIN D1.3 AND ITS COMPARISON WITH THE CRYSTAL STRUCTURE." SCIENCE 233; PGS. 755-758; (1986)	
	004	CHOTHIA, ET AL.: "CONFORMATIONS OF IMMUNOGLOBULIN HYPERVARIABLE REGIONS." NATURE 342; PGS. 877-883; (1989)	
	005	CHOTHIA, ET AL.: "STRUCTURAL REPERTOIRE OF THE HUMAN V <sub>H</sub> SEGMENTS." J MOL BIOL 227; PGS. 799-817; (1992)	
	006	CHOTHIA, ET AL.: "CANONICAL STRUCTURES FOR THE HYPERVARIABLE REGIONS OF IMMUNOGLOBULINS." J MOL BIOL 196; PGS. 901-917; (1987)	
	007	HERRERA, ET AL.: "EFFICIENCY OF ERYTHROPOIETIN'S SIGNAL PEPTIDE FOR HIV <sub>MN-1</sub> gp 120 EXPRESSION." BIOCHEM BIOPHYS RES COM 273; PGS. 557-559; (2000)	
	008	KOZAK, ET AL.: "NATURE OF THE BIFUNCTIONAL CHELATING AGENT USED FOR RADIOIMMUNOTHERAPY WITH YTTRIUM-90 MONOCLONAL ANTIBODIES: CRITICAL FACTORS IN DETERMINING <i>in vivo</i> SURVIVAL AND ORGAN TOXICITY." CANCER RES. 49; PGS. 2639-2644; (1989)	
	009	LIAO, ET AL.: "DESIGN OF TRANSGENES FOR EFFICIENT EXPRESSION OF ACTIVE CHIMERIC PROTEINS ON MAMMALIAN CELLS." BIOTECHNOL BIOENG 73; PGS. 313-323; (2000)	
	010	MARTIN, ET AL.: "STRUCTURAL FAMILIES IN LOOPS OF HOMOLOGOUS PROTEINS: AUTOMATIC CLASSIFICATION, MODELLING AND APPLICATION TO ANTIBODIES." J MOL BIOL 263; PGS. 800-815 (1996)	
	011	NUTTALL, ET AL.: "DESIGN AND EXPRESSION OF SOLUBLE CTLA-4 VARIABLE DOMAIN AS A SCAFFOLD FOR THE DISPLAY OF FUNCTIONAL POLYPEPTIDES." PROTEINS 36; PGS. 217-227; (1999)	

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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	012	NYGREN, ET AL.: "SCAFFOLDS FOR ENGINEERING NOVEL BINDING SITES IN PROTEINS." CUR OPIN STRUC BIOL 7; PGS. 463-469; (1997)		
	013	ROOMAN, ET AL.: "AMINO ACID SEQUENCE TEMPLATES DERIVED FROM RECURRENT TURN MOTIFS IN PROTEINS: CRITICAL EVALUATION OF THEIR PREDICTIVE POWER." PROTEIN ENG. 3; PGS. 23-27; (1989)		
	014	A. SKERRA: "ENGINEERED PROTEIN SCAFFOLDS FOR MOLECULAR RECOGNITION." J MOL RECOG 13; PGS. 167-187; (2000)		
	015	STIMMEL, ET AL.: "YTTRIUM-90 CHELATION PROPERTIES OF TETRAAZATETRAACETIC ACID MACROCYCLES, DIETHYLENETRIAMINEPENTAACETIC ACID ANALOGUES, AND A NOVEL TERPYRIDINE ACYCLIC CHELATOR." BIOCONJUG CHEM 6; PGS. 219-225; (1995)		
	016	LIBYH, ET AL.: "A RECOMBINANT HUMAN scFv ANTI-RH(D) ANTIBODY WITH MULTIPLE VALENCES USING A C-TERMINAL FRAGMENT OF C4-BINDING PROTEIN" BLOOD 90(10); PGS. 3978-83; (1997)		
	017	WU, ET AL.: "CONFORMATION OF COMPLEMENTARITY DETERMINING REGION L1 LOOP IN MURINE IgG λ LIGHT CHAIN EXTENDS THE REPERTOIRE OF CANONICAL FORMS." J MOL BIOL 229; PGS. 597-601; (1993)		

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